



1644  
RECEIVED  
MAY 15 2002  
TECH CENTER 1600/2900  
100-1644-1600/2900  
1644  
1644  
**PIPER RUDNICK LLP**  
1200 NINETEENTH STREET, NW  
WASHINGTON, DC 20036-2412  
TELEPHONE: 202-861-3900  
FACSIMILE: 202-223-2085

DOCKET NO.: 3781-001-27

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

*p#2*  
Re: Serial No.: 10/062,710  
Applicant(s): Frank Q. LI et al.  
Filing Date: February 5, 2002  
For: POLYMERIC CONJUGATES FOR DELIVERY OF MHC-  
RECOGNIZED EPITOPES VIA PEPTIDE VACCINES  
Group Art Unit: 1644  
Examiner:

SIR:

Attached hereto for filing are the following papers:

**INFORMATION DISCLOSURE STATEMENT  
FORM PTO-1449  
COPIES OF 28 CITED REFERENCES**

Our check in the amount of \$ 0 is attached covering any required fees. In the event any variance exists between the amount enclosed and the Patent Office charges for filing the above-noted documents, including any fees required under 37 C.F.R. 1.136 for any necessary extension of time to make the filing of the attached documents timely, please charge or credit the difference to Deposit Account No. 50-1442. Further, if these papers are not considered timely filed, then a request is hereby made under 37 C.F.R. 1.136 for the necessary extension of time. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

PIPER RUDNICK LLP

  
Steven B. Kelber  
Attorney of Record  
Registration No.: 30,073

Patrick R. Delaney  
Registration No.: 45,338

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION: Frank Q. LI et al.

GROUP ART UNIT: 1644

SERIAL NUMBER: 10/062,710

EXAMINER:

FILED: February 5, 2002

FOR: POLYMERIC CONJUGATES FOR DELIVERY OF MHC-RECOGNIZED EPITOPE VIA PEPTIDE VACCINES

## INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. 1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicant(s) wish(es) to disclose the following information.

## REFERENCES

- Applicant(s) wish(es) to make of record the documents listed on the attached Form PTO-1449. Copies of the listed documents are attached, where required, as are either statements of relevancy or any readily available full or partial English translations of any non-English-language documents.

## RELATED CASES

- Attached is a list of Applicant's(s') pending applications and issued patents which may be related to the present application. Copies of the documents, where required, are attached along with Form PTO-1449.

## CERTIFICATION

The undersigned certifies that

- each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign or international patent office in a counterpart foreign or international application for the first time (to the knowledge of the undersigned, having made reasonable inquiry) not more than three months prior to the filing of this statement.
- no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign or international patent office in a counterpart foreign or international application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this statement.

## BASIS FOR CONSIDERATION

This Information Disclosure Statement is filed:

- without fee and within three months of the filing date of the application.
- without fee and within three months of the date of entry of the U.S. national stage.
- without fee and before the mailing date of a first Office Action on the merits (to the knowledge of the undersigned).
- without fee and with the appropriate certification above.
- without fee and with a Request for Continued Examination.
- with fee and before the mailing date of any of a Final Office Action, Notice of Allowance or an action that otherwise closes prosecution (to the knowledge of the undersigned).
- with fee, appropriate certification above, and before payment of the Issue Fee.

## DEPOSIT ACCOUNT

- Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 50-1442.

Respectfully submitted,

PIPER RUDNICK LLP

  
 Steven B. Kelber  
 Attorney of Record  
 Registration No. 30,073

 Patrick R. Delaney  
 Registration No. 45,338

 1200 Nineteenth Street, N.W.  
 Washington, DC 20036-2412  
 Telephone No. (202) 861-3900  
 Facsimile No. (202) 223-2085

TECH CENTER 1600/2900

MAY 15 2002

RECEIVED

Form PTO 1449 (Modified)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	DOCKET NO.	SERIAL NO.
		3781-001-27	10/062,710
RECEIVED MAY 15 2002 U.S. PATENT AND TRADEMARK OFFICE		RECEIVED MAY 15 2002 U.S. PATENT AND TRADEMARK OFFICE	
LIST OF REFERENCES CITED BY APPLICANT (Use Several Sheets if Necessary)		FILING DATE	GROUP A UNIT
		February 5, 2002	1644

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	4,141,973	02/1979	BALAZS	424	180	10/25/1977
	AB	4,636,524	01/1987	BALAZS	514	781	03/08/1985
	AC	4,725,585	02/1988	WENGE et al.	514	54	09/20/1985
	AD	5,166,331	11/1992	della VALLE et al.	536	55.1	12/19/1989
	AE	5,196,512	03/1993	BIANCHI et al.	530	326	11/08/1990
	AF	5,019,384	05/1991	GEFTER et al.	424	88	11/13/1989
	AG	5,665,383	09/1997	GRINSTAFF et al.	424	450	06/07/1995
	AH	5,674,495	10/1997	BOWERSOCK et al.	424	184.1	02/27/1995
	AI	5,856,299	01/1999	RIGHETTO et al.	514	8	11/26/1999
	AJ	5,919,639	07/1999	HUMPHREYS et al.	435	7.24	11/12/1997
	AK	5,993,819	11/1999	HAYNES et al.	424	188.1	10/20/1995
	AL	6,033,669	03/2000	JONDAL	424	193.1	05/16/1995
	AM	6,037,135	03/2000	KUBO et al.	435	7.24	11/29/1993
	AN	6,063,370	05/2000	DADEY	424	78.12	10/02/1998
	AO	6,096,315	08/2000	ZIMMERMAN et al.	424	193.1	06/06/1995
	AP	6,150,461	11/2000	TAKEI et al.	525	63	05/27/1997
	AQ	6,180,601 B1	01/2001	JEDERSTRÖM	514	12	06/18/1996
	AR	6,291,671 B1	09/2001	INOUE et al.	536	123.1	03/22/1999

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

AS	Yuansheng SUN et al., "IDENTIFICATION OF A NEW HLA-A *0201-RESTRICTED T-CELL EPITOPE FROM THE TYROSINASE-RELATED PROTEIN 2 (TRP2) MELANOMA ANTIGEN," <i>Int. J. Cancer</i> : 87, 2000, pp: 399-404
AT	Katrin PETER et al., "INDUCTION OF A CYTOTOXIC T-CELL RESPONSE TO HIV-1 PROTEINS WITH SHORT SYNTHETIC PEPTIDES AND HUMAN COMPATIBLE ADJUVANTS," <i>Vaccine</i> 19 (2001), pp: 4121-9
AU	Christian C. Termeer et al., "OLIGOSACCHARIDES OF HYALURONAN ARE POTENT ACTIVATORS OF DENDRITIC CELLS," <i>The Journal of Immunology</i> , 2000, 165, pp: 1863-70

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	DOCKET NO.  3781-001-27	SERIAL NO.  10/062,710
 LIST OF REFERENCES CITED BY APPLICANT (Use Several Sheets if Necessary)		APPLICANT  Frank Q. LI et al.		
		FILING DATE  February 5, 2002	GROUP ART UNIT  1644	
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)				
	AV	Manmogan SINGH et al., "ADVANCES IN VACCINE ADJUVANTS," <i>Nature Biotechnology</i> , Vol. 17, November 1999, pp: 1075-81		
	AW	G.G.B. KLAUS et al., "THE IMMUNOLOGICAL PROPERTIES OF HAPTENS COUPLED TO THYMUS-INDEPENDENT CARRIER MOLECULES; III. THE ROLE OF THE IMMUNOGENICITY AND MITOGENICITY OF THE CARRIER IN THE INDUCTION OF PRIMARY IgM ANTI-HAPten RESPONSES," <i>1975 European Journal of Immunology</i> , Volume 5, pp: 105-11		
	AX	John H. HUMPRHEY, "TOLEROGENIC OR IMMUNOGENIC ACTIVITY OF HAPten-CONJUGATED POLYSACCHARIDES CORRELATED WITH CELLULAR LOCALIZATION," <i>European Journal of Immunology</i> 3/1981, pp: 212-20		
	AY	Roger J. KURLANDER et al., "THE ADJACENT FLANKING REGION PLAYS A CRITICAL ROLE IN FACILITATING THE PRESENTATION OF THE <i>LISTERIA MONOCYTOGENES</i> PRODUCT lemA TO H2 M3 <sup>m</sup> -RESTRICTED, PEPTIDE-SPECIFIC MURINE CD8 CELLS," <i>The Journal of Immunology</i> , 1999, 163, pp: 6741-7		
	AZ	Jian-Tai QIU et al., "EVALUATION OF NOVEL HUMAN IMMUNODEFICIENCY VIRUS TYPE 1 GAG DNA VACCINES FOR PROTEIN EXPRESSION IN MAMMALIAN CELLS AND INDUCTION OF IMMUNE RESPONSES," <i>Journal of Virology</i> , November 1999, pp: 9145-52		
	BA	Jian-Tai QIU et al., "ENHANCEMENT OF PRIMARY AND SECONDARY CELLULAR IMMUNE RESPONSES AGAINST HUMAN IMMUNODEFICIENCY VIRUS TYPE 1 GAG BY USING DNA EXPRESSION VECTORS THAT TARGET GAG ANTIGEN TO THE SECRETORY PATHWAY," <i>Journal of Virology</i> , July 2000, pp: 5997-6005		
	BB	Marielena MATA et al., "Th1 T CELL RESPONSES TO HIV-1 GAG PROTEIN DELIVERED BY A <i>LISTERIA MONOCYTOGENES</i> VACCINE ARE SIMILAR TO THOSE INDUCED BY ENDOGENOUS LISTERIAL ANTIGENS," <i>The Journal of Immunology</i> , 1999, 163, pp: 1449-56		
EXAMINER			DATE CONSIDERED	

**\*EXAMINER:** Initial if reference is considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.